

General Information on Incident Management Process

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About this document

This document describes the Incident Process. The Process provides a consistent method for everyone to follow when Schneider Electric partners & internal users report issues regarding Offer management system.

Who should use this document?

This document should be used by:

IPO , DCE personnel responsible for the restoration of services & personnel involved in the operation and Incident Management Process.

Summary of changes

This section records the history of significant changes to this document. Only the most significant changes are described here.

Vers ion	Date	Author	Description of change
1.0		Amit Devangan	Initial version

Where significant changes are made to this document, the version number will be incremented by 1.0.

Where changes are made for clarity and reading ease only and no change is made to the meaning or intention of this document, the version number will be increased by 0.1.

Chapter 1. Incident Process

1.1. Primary goal

The primary goal of the Incident Management process is to restore normal service operation as quickly as possible and minimize the adverse impact on business operations, thus ensuring that the best possible levels of service quality and availability are maintained. 'Normal service operation' is defined here as service operation within SLA limits.

1.2. Process Definition

Incident Management includes any event which disrupts, or which could disrupt, a service. This includes events which are communicated directly by Schneider Electric partners or internal

staff through the CCC agent or through an interface from Event Management to Incident Management tools.

1.3. Objectives - Provide a consistent process to track incidents that ensures

- Incidents are properly logged.
- Incidents are properly routed
- Incident status is accurately reported
- Queue of unresolved incidents is visible and reported
- Incidents are properly prioritized and handled in the appropriate sequence
- Resolution provided meets the requirements of the SLA for the customer

1.4. Definitions

1.4.1. Customer

A customer is someone who buys goods or Services. The Customer of an IT Service Provider is the person utilizing the service purchased by the customer's organization. The term Customers is also sometimes informally used to mean Users, for example "this is a Customer focused Organization".

1.4.2. Impact

Impact is determined by how many personnel or functions are affected. There are three grades of impact:

- 3 - Low – One or two personnel. Service is degraded but still operating within SLA specifications
- 2 - Medium – Multiple personnel in one physical location. Service is degraded and still functional but not operating within SLA specifications. It appears the cause of the incident falls across multiple service provider groups.
- 1 - High – All users of a specific service. Personnel from multiple agencies are affected. Public facing service is unavailable. The impact of an incident will be used in determining the priority for resolution.

1.4.3. Incident

An incident is an unplanned interruption to an IT Service or reduction in the Quality of an IT Service. Failure of any Item, software or hardware, used in the support of a system that has not yet affected service is also an Incident. For example, the failure of one component of a redundant high availability configuration is an incident even though it does not interrupt service.

An incident occurs when the operational status of a production item changes from working to failing or about to fail, resulting in a condition in which the item is not functioning as it was designed or implemented. The resolution for an incident involves implementing a repair to restore the item to its original state.

A design flaw does not create an incident. If the product is working as designed, even though the design is not correct, the correction needs to take the form of a service request to modify the design. The service request may be expedited based upon the need, but it is still a modification, not a repair.

1.4.4. Incident Repository

The Incident Repository is a database containing relevant information about all Incidents whether they have been resolved or not. General status information along with notes related to activity should also be maintained in a format that supports standardized reporting. At CCC agent, the incident repository is contained within PeopleSoft CRM (BFO) soon it will be migrated to Remedy.

1.4.5. Priority

Priority is determined by utilizing a combination of the incident's impact and severity. For a full explanation of the determination of priority refer to the paragraph titled Priority Determination.

1.4.6. Response

Time elapsed between the time the incident is reported and the time it is assigned to an individual for resolution.

1.4.7. Resolution

Service is restored to a point where the customer can perform their job. In some cases, this may only be a work around solution until the root cause of the incident is identified and corrected.

1.4.8. Service Agreement

A Service Agreement is a general agreement outlining services to be provided, as well as costs of services and how they are to be billed. A service agreement may be initiated between a client or service provider. A service agreement is distinguished from a Service

Level Agreement in that there are no ongoing service level targets identified in a Service Agreement.

1.4.9. Service Level Agreement

Often referred to as the SLA, the Service Level Agreement is the agreement between SE & its partners outlining services to be provided, and operational support levels as well as costs of services and how they are to be billed?

1.4.10. Service Level Target

Service Level Target is a commitment that is documented in a Service Level Agreement. Service Level Targets are based on Service Level Requirements, and are needed to ensure that the IT

Service continues to meet the original Service Level Requirements.

1.4.11. Severity

Severity is determined by how much the user is restricted from performing their work. There are three grades of severity:

- 3 - Low - Issue prevents the user from performing a portion of their duties.
- 2 - Medium - Issue prevents the user from performing critical time sensitive functions.
- 1 - High - Service or major portion of a service is unavailable

The severity of an incident will be used in determining the priority for resolution.

1.5. Incident Scope

The Incident process applies to all specific incidents in support of larger services already provided by CCC .

1.5.1. Exclusions

Request fulfillment, i.e., Service Requests and Service Catalog Requests are not handled by this process.

Root cause analysis of original cause of incident is not handled by this process. Refer to Problem Management. The need for restoration of normal service supersedes the need to find the root

Cause of the incident. The process is considered complete once normal service is restored.

1.6. Inputs and Outputs

Input	From
Incident (verbal or written)	Customer
Categorization Tables	Functional Groups
Assignment Rules	Functional Groups
Output	To
Standard notification to the customer when case is closed	Customer.

1.7. Metrics

Metric	Purpose
Process tracking metrics # of incidents by type, status, and customer.	To determine if incidents are being processed in reasonable time frame, frequency of specific types of incidents, and determine where bottlenecks exist.

Chapter 2. Incident Categorization, Target Times, Prioritization, and Escalation

In order to adequately determine if SLA's are met, it will be necessary to correctly categorize and prioritize incidents quickly.

2.1. Categorization

The goals of proper categorization are:

- Identify Service impacted and appropriate SLA and escalation timelines.
- Indicate what support groups need to be involved.

Provide meaningful metrics on system reliability for each incident the specific service (as listed in the published Service Catalog) will be identified. It is critical to establish with the user the specific area of the service being provided. For example, if it's PeopleSoft, is it Financial, Human Resources, or another area? If it's PeopleSoft Financials, is it for General Ledger, Accounts Payable, etc.? Identifying the service properly establishes the appropriate Service Level Agreement and relevant Service Level Targets.

In addition, the severity and impact of the incident need to also be established. All incidents are important to the user, but incidents that affect large groups of personnel or mission critical functions need to be addressed before those affecting 1 or 2 people.

Does the incident cause a work stoppage for the user or do they have other means of performing their job? An example would be a broken link on a web page is an incident but if there is another navigation path to the desired page, the incident's severity would be low because the user can still perform the needed function.

The incident may create a work stoppage for only one person but the impact is far greater because it is a critical function. An example of this scenario would be the person processing payroll having an issue which prevents the payroll from processing. The impact affects many more personnel than just the user.

2.2. Priority Determination

The priority given to an incident that will determine how quickly it is scheduled for resolution will be set depending upon a combination of the incident severity and impact.

Incident Priority			Severity		
			3 – Low Issue prevents the user from performing a portion of their duties.	2 – Medium Issue prevents the user from performing critical time sensitive functions	1 – High Service or major portion of a service is unavailable
Impact	3 – Low	One or two personnel Degraded Service Levels but still processing within SLA constraints	3 - Low	3 – Low	2 – Medium

	2 – Medium	Multiple personnel in one physical location Degraded Service Levels but not processing within SLA constraints or able to perform only minimum level of service It appears cause of incident falls across multiple functional areas	2 - Medium	2 – Medium	1 – High
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	1 – High	All users of a specific service Personnel from multiple agencies are affected Public facing service is unavailable Any item listed in the Crisis Response tables	1 - High	1 – High	1 – High
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Chapter 3. Reports and Meetings

A critical component of success in meeting service level targets is for Advance Agent (IPO/DCE) to hold itself accountable for deviations from acceptable performance. This will be accomplished by producing meaning reports that can be utilized

to focus on areas that need improvement. The reports must then be used in coordinated activities aimed at improving the support.

A report showing all incidents related to service interruptions will be reviewed weekly during the operational meeting. The purpose is to discover how serious the incident was, what steps are being taken to prevent reoccurrence, and if root cause needs to be pursued.

Metrics reports should generally be produced monthly with quarterly summaries. Metrics to be reported are:

- Total numbers of Incidents (as a control measure)
- Breakdown of incidents at each stage (e.g. logged, work in progress, closed etc)
- Size of current incident backlog
- Number and percentage of major incidents
- Mean elapsed time to achieve incident resolution or circumvention, broken down by impact code
- Percentage of incidents handled within agreed response time as defined by SLA's or IPO standards
- Number of incidents reopened and as a percentage of the total.
- Number and percentage of incidents incorrectly assigned
- Number and percentage of incidents incorrectly categorized
- Percentage of Incidents closed by the CCC Agent without reference to other levels of support (often referred to as 'first point of contact')

- Number and percentage the of incidents processed per CCC agent
- Number and percentage of incidents resolved remotely, without the need for a visit
- Breakdown of incidents by time of day, to help pinpoint peaks and ensure matching of resources.

3.1.1. Meetings

The Quality Assurance Manager will conduct sessions with each service provider group to review performance reports. The goal of the sessions is to identify:

- Processes that are working well and need to be reinforced.
- Patterns related to incidents where support failed to meet targets.
- Reoccurring incidents where the underlying problem needs to be identified and resolution activities are pursued
- Identification of work around solutions that need to be developed until root cause can be corrected